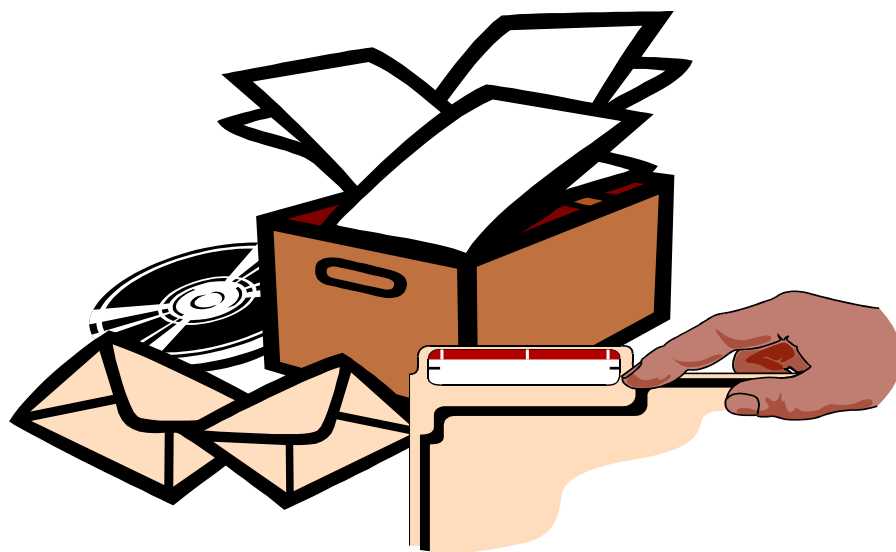


# Records Retention and Disposition for Arizona School Districts



**Arizona State Library, Archives and Public Records  
Records Management Division  
May 2004**

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Arizona*  
PROVIDING ACCESS



## Chapter 1 - The Life-Cycle Of Records

### WHAT ARE RECORDS?

A discussion of records retention should logically begin with determining just what is a record. Definitions may vary depending on the author, context and scope of what is being defined. For the purposes of this discussion, the audience is Arizona school districts, and the legal definition, as it appears in the State Library statutes, shall apply.

As defined in the Arizona Revised Statutes (A.R.S. §41-1350) records are: *All books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics . . . made or received by any governmental agency in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government, or because the informational and historical value of the data contained therein . . .*

Records as defined above are the property of the State of Arizona. They are in no sense personal property nor are they the property of a specific agency or political subdivision (A.R.S. §41-1347).

It is frequently assumed that records are only paper materials. In the definition above the phrase "regardless of physical form or characteristics" greatly expands on that assumption. Records may include computer based records, still photographs, motion pictures, audio and video recordings, charts, maps, drawings, plans, micrographics and more.

### E-RECORDS

E-records are those that reside in electronic computer systems. The legal definition of a record includes the phrase "regardless of physical form..."<sup>1</sup>. Basically, a record is a record regardless of the form in which it exists. Those records created in an electronic/digital environment are referred to as "born digital" and may well spend their entire life-cycle in this form. E-records may also be a documentary product of e-government, or digital government.

The Arizona Electronic Transaction Act (A.R.S. §44-7001 et. seq.) authorizes state and local governments to establish electronic/digital systems for conducting their business. It also specifically requires that any records that are a product of these systems be managed pursuant to Arizona's government records statutes.

ALERT was created by the Arizona State Library, Archives and Public Records as an advisory group meant to ensure that the electronic records management program established by the agency will address the needs of all affected government entities. The taskforce is composed of representatives from various state and local government agencies. The group welcomes participation and comments from concerned parties. More information may be found at the State Library web site, [www.lib.az.us](http://www.lib.az.us).

### ELECTRONIC RECORDS MANAGEMENT (ERM)

Although this manual does not specifically address the management of electronic records, a separate manual "Managing Arizona Government Electronic Records" is being developed for that purpose. That manual is expected to be ready for publication at a future date.

If records exist in electronic form they still need to be managed pursuant to law. This especially means including them in records retention programs. If school district records are kept in electronic form, the retention schedules in this manual are still valid for those records. The retention and disposition schedules in this manual are intended for school district records regardless of physical form of the records.

### THE CONCEPT OF THE RECORD LIFE-CYCLE

A life-cycle is simply the stages through which an organism passes during the course of its lifetime. Pertaining to records, it consists of the various phases a record passes through from the time of its creation or receipt to the time of its final disposition.

As with any inanimate, man-made item, the life-cycle of records is not determined by natural laws, but by the needs of the individuals creating and using records. Figure 1 illustrates the life-cycle of typical paper records.

### RECORDS CREATION

The life-cycle of a record begins when it is created or received by an agency. A record is created whenever documentary information is placed onto a medium thus making intangible information into tangible records. This action takes place when forms are filled out, correspondence is written, reports are compiled and printed, information is recorded magnetically or electronically, etc.

The medium a record is produced on and the manner of creation does not significantly alter the concept of the life-cycle. All records are created, retained and disposed of on some cyclical basis.

### "ALERT" (Arizona 'Electronic Records Taskforce)

<sup>1</sup> A.R.S. §41-1350  
May 2004

Records retention is the maintenance of documents for further use. Paper records are usually retained in office filing equipment while they are active. When activity; i.e., references to records; drops to a very low level they are considered inactive and may complete their retention in a records center.

Records centers are specifically designed to house inactive records far more economically and efficiently than in an office. Records centers are also more economical than microfilming for storage of most records with a retention of less than sixty years.

### NON-RECORDS

The definition of records encompasses a broad spectrum of recorded information; but not all recorded information is a record. According to Statute (A.R.S. §41- 1350):

*... Library or museum material made or acquired solely for reference or exhibition purposes, extra copies of documents preserved only for convenience or reference, and stocks of publications or documents intended for sale or distribution to interested persons, are not included within the definition of records . . .*

Non-record materials *may* include:

- Reading file copies of correspondence
- Tickler, follow-up, or suspense copies of correspondence
- Identical duplicate copies of all documents maintained in the same file
- Extra copies of printed or processed materials, official copies of which have been retained for record purposes
- Superseded copies of published manuals and directives
- Routing slips
- Transmittal sheets
- Catalogs, trade journals, magazines, etc
- Information copies of correspondence
- Physical exhibits, artifacts, and material objects lacking documentary values

Non-records are usually not to be mixed with records in the same file. Sometimes materials normally considered non-record, such as transmittal or routing slips, acquire record status because they clarify the matter being documented. Such distinctions require care and discretion.

The fact that an item is a copy does not, in itself, give it non-record status. As Figure 2 shows, several copies of a single document may each have record status because each serves a separate program purpose. Multiple copies of a single record, however, generally are not all records. One copy of a document is usually designated as the "official" copy.

When it is difficult to decide whether files are record or non-record materials, the agency should treat them as records. The assistance of the Records

Management Division, Arizona State Library, Archives and Public Records is always available to help with this decision.

### BE CAREFUL WITH NON-RECORDS

From the standpoint of both state and Federal court Rules of Evidence, there is little if any difference between records and copies of records. During the discovery process of a civil suit the non-record copies are just as discoverable as evidence as the actual official records. Stay on the safe side and treat non-record copies as you would treat original records.

### "NON-RECORD" PUBLISHED MATERIALS

The specific elimination of some published materials from the definition of records is not meant to denigrate the value of these materials. Rather it is meant to separate items more suitable for a library collection from those defined as "records."

Pursuant to A.R.S. 41-1338 it is the duty of all public officers to send copies of non-confidential reports, documents and publications to the Arizona State Library. These reports, documents and publications are important to the history of this state and therefore, need to be retained in the safe and organized collection at the State Library. Contact the Research and Law Library by phone at 602-542-3701 or e-mail [research@lib.az.us](mailto:research@lib.az.us).

# The Life-cycle of Records

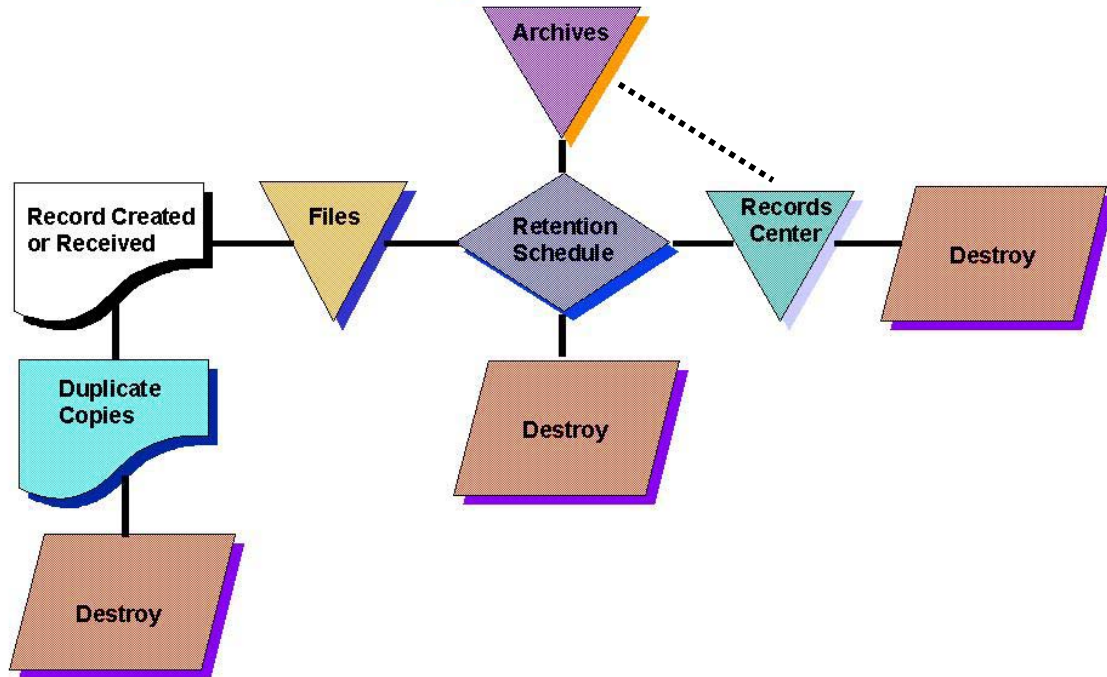


Figure 1

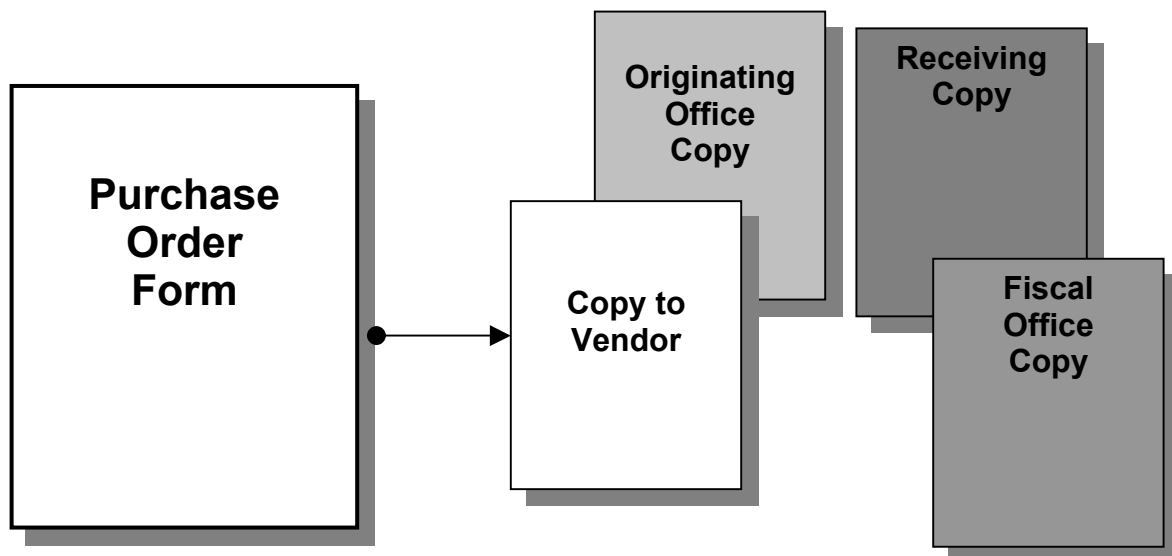


Figure 2

## Chapter 2 - Records Inventory And Evaluation

### RECORD SERIES

A record series is a group of records that are identified as a unit because they document the same function, or activity; have a particular form; or because of some other relationship arising out of their creation, receipt, or use. A records series is most often a group of records filed together and treated as a unit for records management purposes. A records series may consist of many separate files, but the series is treated as a single unit for all purposes relating to records retention.

A familiar example is "personnel files," one of which exists for every employee in the organization. Even though there may be hundreds or thousands of these files, they are referred to as a records series – "personnel files" - for records retention purposes.

### RECORDS INVENTORY

The first step in developing records retention and disposition schedules is to determine what records exist in an agency. This is ideally accomplished by taking a records inventory. The records inventory can be performed agency-wide or on an office by office basis.

The records inventory identifies and quantifies the records created and received by an agency. The inventory is the first step in the development of an agency's (department's) records program and becomes the working document for records retention and disposition schedules, file plans and essential records programs.

Simply defined, the records inventory is a list of each record series, together with an indication of where it is located and other pertinent data.

The inventory is not:

- A document by document listing
- A folder by folder listing

Non-record materials are not required to be included in the inventory. However, since non-records are discoverable and admissible as evidence it is advisable to *include* them in the inventory and describe them thoroughly. If they are duplicates or extra copies, indicate that they are not the record copy and show their use and proposed retention.

The inventory frequently produces some startling results. If an agency or department has not been following a systematic records disposition program the inventory will probably reveal:<sup>2</sup>

- 40% of the total volume will remain in the office.
- 30% of the total volume may be destroyed immediately.
- 30% of the total volume may be boxed and shipped to inactive storage.

### TAKING THE INVENTORY

There are basically two methods of inventorying records: the physical inventory and the survey / questionnaire. In the physical inventory, personnel specially trained by and working for the agency records management unit inventory all records in an agency. They use a carefully designed inventory form which provides for all necessary information. The physical inventory is the most accurate and complete method for determining exactly what records exist in an agency.

In the questionnaire method, a well designed questionnaire(s) is distributed to all unit managers for completion by personnel from each unit. This requires commitment and cooperation from each unit. This method can be efficient and effective providing that the individual units cooperate fully with the records management staff.

Before the inventory begins, agency structure, the levels of authority and program responsibilities need to be understood. They can serve as clues to the existence and location of records within the agency. The following matters should be considered:

- Which are the key line and staff offices?
- What programs does the agency have?
- What units are responsible for developing policies?
- What units are charged with carrying out policies?
- What is the nature of staff support activities?

Equally important is a prior knowledge of the agency or department filing systems. The following questions need to be answered:

- Is there a prescribed agency wide filing system? If so, how widely is it used?
- Is there a prescribed file classification system?
- Is there a central file? Does it operate as planned? At what levels?
- Is there an automated records management system or document management system in use by the agency?
- Where is essential documentation likely to be?

### RECOMMENDED INVENTORY FORMAT

The records inventory worksheet recommended is illustrated in Figure 3. This form is available from the Records Management Division, Arizona State Library, Archives and Public Records. The form can be used for either a physical inventory or as a questionnaire. It should be filled out completely and correctly as it will be the basis for any proposed retention and disposition schedules.

<sup>2</sup>ARMA International, Overview of Records and Information Management, 1985.

| RECORDS INVENTORY WORKSHEET  |                                     |
|--|-------------------------------------|
| AGENCY:  | DIVISION:                           |
| SUB-ORG. UNIT:   | CONTACT NAME:                       |
| RECORD SERIES NAME:  |                                     |
| <input type="checkbox"/> Official Copy <input type="checkbox"/> Info. Copy   |                                     |
| RECORDS MEDIUM:  |                                     |
| <input type="checkbox"/> Paper <input type="checkbox"/> Microfilm <input type="checkbox"/> Electronic/Computer <input type="checkbox"/> Electronic Image                 |                                     |
| DESCRIPTION (IF NAME IS NOT DESCRIPTIVE):  |                                     |
|  |                                     |
| INCLUSIVE DATES IN FILE:   |                                     |
| From _____   | Through _____                       |
| RECORD(FILE) CUT-OFF:  |                                     |
| <input type="checkbox"/> After Calendar Year <input type="checkbox"/> After Fiscal Year <input type="checkbox"/> After Event (case completion; project completion; etc.) |                                     |
| VOLUME OF RECORDS (SELECT ONE):  |                                     |
| _____ cubic feet   | _____ lineal inches                 |
| _____ file drawers   |                                     |
| USE FREQUENCY OF RECORDS:  |                                     |
| current year _____ ref./month  | 2 thru 5 years old _____ ref./month |
| past year _____ ref./month   | over 5 years old _____ ref./month   |
| RETENTION:   |                                     |
| Legal Requirement: _____ years after _____ Citation _____  |                                     |
| Office Recommendation _____ years after _____  |                                     |
| Current retention from approved schedule _____ years after _____   |                                     |
| ELECTRONIC/COMPUTER MEDIA ONLY:  |                                     |
| Operating system: _____  |                                     |
| Application program: _____   |                                     |
| Data format: _____   |                                     |
| COMMENTS:  |                                     |
|  |                                     |

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Figure 3

## Chapter 3 – Records Retention and Disposition Schedules

### EVALUATION / APPRAISAL

Evaluation is a term used by records managers to determine the retention value of various record series. The information gathered in the records inventory is used to evaluate the records for determining retention periods. Evaluation for retention periods is based on:

- Statutory or regulatory requirements
- Audit requirements
- Practical need or value

*Statutory or regulatory requirements* for specific records retention periods are infrequent. Statutes and regulations are sometimes geared toward actions rather than records. Records retention may be inferred, however, by the need to provide evidence of a particular action. When a statute or regulation is being cited as the basis for a retention period, the specific statute or regulation must be indicated on the records inventory and on the subsequent retention schedule.

*Audit requirements* usually apply only to financial or fiscal records. These requirements are most often limited to retention for three to five years. Federal requirements are almost always listed in the Code of Federal Regulations (CFR) and are therefore also regulatory requirements. Do not assume retention periods based on what an individual auditor wants. This determination should be made only by the auditing authority.

*Practical need* is determined by specific values:

- **Administrative value.** Records which help or document administrative activities have administrative value. Retention can vary greatly on these records depending on just what the records document. Many documents at operational levels are actually non-records by definition because they are duplicates of record copies and/or they are working papers which are summarized into higher level records.
- **Evidential value** refers to records which provide evidence of an agency's organizational structure and functions. They include policies, directives, board minutes, organizational documents, etc. Most of these records have long term or archival value. Fortunately, these are a very small percentage of an agency's records.
- **Informational value** is based on the information contained in the records. Informational value usually decreases with time. Informational value can most often be determined by studying the use of the record series over a period of time.

### APPRAISAL OF PERMANENT / ARCHIVAL RECORDS

The Arizona History and Archives Division identifies, collects, preserves and provides access to state and local government records of Arizona, for the purposes of retaining evidence about public policies and programs, providing protection or verification of individual's rights, and maintaining information about noteworthy people, issues, places and events that make up the story of Arizona's history.

Appraisal is a term used by archivists meaning the assessment of the records for historical value. The appraisal criteria used by archivists include:

- Who created the record.
- How the records were used.
- What information is contained in the record.
- Who might use the records in the future.

These records are usually considered for "permanent" retention at the State Archives.

"Permanent", as used by records managers and archivists, literally means forever, and records with this value are relatively rare. Records with archival value usually comprise three to five percent of the total of all government records. Frequently original copies of evidential records are of archival value. These include:

1. Board Minutes of boards, commissions and committees established by statute, resolution, proclamation or ordinance
2. Original or "official" copies of formal policy directives
3. One copy of the agency annual reports
4. Original copy of organizational documentation including charts
5. Records documenting a historic or "landmark" event

The archivists at the History and Archives Division welcome the opportunity to appraise agency records. Please call 602-542-4159 to arrange for a professional appraisal.

Arizona law A.R.S. §39-101 prescribes the materials and storage conditions required for permanent public records and prescribes the penalty for non-compliance.

### DETERMINING RECORDS RETENTION

The evaluation process is used to determine the retention period best suited to a record series. No record should be destroyed while it still has significant value. On the other hand, no record should be retained after its value has been exhausted.

Records should never be retained only because "someone might need them someday." Maintaining records uses valuable resources and is costly — only records of value should be maintained.

Most records are kept for informational value. Usually, informational value decreases as time passes. A



"typical" record will have most of its informational value immediately after its receipt or creation. This value then drops off or decreases over a period of time.

Ultimately, the determination of government records retention periods is the responsibility of the Arizona State Library, Archives and Public Records (A.R.S. §§41-1347 and 41-1351).

### **SCHEDULING RECORDS**

The primary objective of the records inventory and records evaluation is to provide the data necessary to produce records retention and disposition schedules. These schedules are simply timetables that identify the length of time records must be kept in active and inactive status prior to final disposition.

A records retention and disposition schedule describes the life-cycle of specific record series. It is a reference and management tool to be used to prescribe the time to retire records to inactive status and eventually the time to destroy or otherwise dispose of the records. Retention schedules should be suspended if there are any foreseeable or pending litigation, judicial or financial investigations. A.R.S. §41-1346 requires that each state and local agency submit proposed retention and disposition schedules to the Arizona State Library, Archives and Public Records for approval.

Records Retention and Disposition Schedules are best developed along business processes, with schedules written for specific functions. Functionally-based schedules facilitate both transfer of inactive records to an inactive records center and final destruction of old records.

Retention schedules should be reviewed at least every 2 years and revised as needed. Since public laws, regulations and office operations are constantly revised, improvements in equipment and work methods become necessary. The information resources of public agencies must adapt to respond to these changes. Revisions to retention schedules may be initiated by either agency management or the Arizona State Library, Archives and Public Records.

### **SCHOOL DISTRICT RECORDS CENTER**

As political subdivisions, Arizona school districts may establish their own central records centers. A records center is usually a facility designed and used to house inactive records in a controlled but inexpensive environment. Any school district operating or planning a records center is welcome to call Arizona State Library, Archives and Public Records for free advice or consultation at 602-542-3741.

Commercial records centers are available in Maricopa and Pima counties, and may prove to be a viable option to building and staffing a center. Contact the Records Management Division for information on proper records storage before procuring such services.

## Chapter 4 - Standardized Retention Schedules for Arizona School Districts

### STANDARDIZED SCHEDULES

This chapter contains records retention and disposition schedules for most school district functions. The schedules are organized alphabetically by the title of the function:

- **Accounting/Finance**
- **Administration**
- **Budgets**
- **Equipment/Vehicle Services**
- **Food Services/Student Activities/Aux Operations**
- **Information Technology**
- **Personnel/Human Resources**
- **Purchasing/Procurement**
- **Student Records**

### LEGAL APPROVAL

The following retention and disposition schedules have been approved by the Director, Arizona State Library, Archives and Public Records pursuant to ARS §41-1347 and 41-1351. These schedules have also been reviewed by the Auditor General's Office for compliance with audit requirements.

These schedules shall be used by all Arizona school districts. Records destroyed in accordance with these schedules must be reported to the Arizona State Library, Archives and Public Records on a *Report of Records Destruction*. This procedure is described in Chapter X.

### FOLLOWING RETENTION SCHEDULES

The retention periods for the records series in these schedules must be followed carefully and faithfully. The retention and disposition schedules comprise an approved routine records program so long as they are followed.

There is no danger of being accused of destroying documentary evidence if the schedules are followed carefully and not selectively. ***Records must never be destroyed for the purpose of eliminating potentially damaging evidence.*** On the other hand, the courts have recognized that records destroyed in the course of normal business and through a documented records retention program are legitimately not available if requested past their scheduled destruction date.

***Records retention and disposition schedules DO NOT preempt good judgement. Records required for legal discovery or ongoing audit purposes beyond the prescribed retention must be maintained until cleared by the appropriate authority before destruction. Contact the Records Management Division whenever records are required because of a law suit, special or ongoing audit or criminal investigation.***

Records subpoenaed or otherwise required by the court, pertinent to current or pending litigation or

currently subject to audit should not be destroyed even if the approved schedule indicates they could be.

Similarly, if you believe records should be kept beyond their retention period because they have historical or archival value, contact Records Management Division to request an extension.

**Disclaimer:** The records management and archives professionals at the Arizona State Library, Archives and Public Records have made every effort to research records retention periods to ensure they meet all legal requirements. However, laws and regulations change and research is not a perfect process. Therefore, the Arizona State Library, Archives and Public Records encourages the records custodian to remain aware of legal requirements for the records in custody and inform the Arizona State Library, Archive and Public Records of any record retention requirements not stated in this manual.

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 1 of 6**

| ALL ARIZONA SCHOOL DISTRICTS   |  | Function:<br>Accounting/Finance |                         |      |       |  |
|--|--|---------------------------------|-------------------------|------|-------|--|
| Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods. |  |                                 |                         |      |       |  |
| No.  | RECORD SERIES  | R.S.<br>Code                    | RETENTION (YR.)<br>Off. | R.C. | Total | REMARKS<br>(Include start point of retention.)   |
|  | <b>GENERAL:</b>  |                                 |                         |      |       |  |
| 1  | Advice of encumbrance  |                                 |                         |      | 3     | After fiscal year prepared*  |
| 2  | General Journals   |                                 |                         |      | 3     | After fiscal year prepared*  |
| 3  | General Ledgers  |                                 |                         |      | 10    | After fiscal year prepared**   |
| 4  | Journal entry forms  |                                 |                         |      | 3     | After fiscal year prepared*  |
| 5  | Lists of liabilities   |                                 |                         |      | 3     | After fiscal year prepared*  |
| 6  | Special Journals   |                                 |                         |      | 10    | After fiscal year prepared**   |
| 7  | Subsidiary ledgers   |                                 |                         |      | 10    | After fiscal year prepared**   |
| 8  | Trial balances   |                                 |                         |      | 10    | After fiscal year prepared**   |
| 9  | Expense accounting records including requisitions, purchase orders, claims, demands, vouchers, vendor invoices, receiving reports, warrant registers and other |                                 |                         |      |       |  |
|  | a. Capital expenses exceeding \$5,000 for land, buildings and equipment  |                                 |                         |      | 3     | After disposal of asset*   |
|  | b. All others  |                                 |                         |      | 3     | After fiscal year prepared**   |
| 10   | Unclaimed property records:  |                                 |                         |      |       |  |
|  | a. Unclaimed payroll checks or warrants.   |                                 |                         |      | 10    | After the date issued **   |
|  | b. Unclaimed payment checks or warrants.   |                                 |                         |      | 10    | After the date issued**  |
|  | c. Unclaimed property reports required per A.R.S. §44-317. Supporting documentation not previously listed  |                                 |                         |      | 5     | After unclaimed property becomes reportable (A.R.S. §44-331)   |
|  |  |                                 |                         |      |       | <p><b>*Pursuant to (GEPA) 20 US §1232f</b></p> <p><b>**Required by ADOR, Unclaimed Property</b></p> <p><b>Supersedes Schedule Dated: January 2, 2001</b></p> |
| <b>Approved by:</b><br><b>X Gladys Ann Wells</b><br>Director, Arizona State Library, Archives and Public Records   |  |                                 |                         |      |       | <b>Approval Date:</b><br><b>May 3, 2004</b>  |

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 2 of 6****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Accounting/Finance**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES   | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)   |
|-----|---|--------------|-----------------|------|-------|--|
|     |   |              | Off.            | R.C. | Total |  |
|     | <b>BANKING:</b>   |              |                 |      |       |  |
| 11  | Reconciliations   |              |                 |      | 10    | After fiscal year prepared**   |
| 12  | Bank statements/canceled checks                               |              |                 |      | 10    | After fiscal year prepared**   |
| 13  | Cash refund documentation                                     |              |                 |      | 10    | After fiscal year prepared**   |
| 14  | Change fund receipt   |              |                 |      | 10    | After fiscal year prepared**   |
| 15  | Check/warrant registers                                       |              |                 |      | 10    | After fiscal year prepared**   |
| 16  | Daily cash receipt summaries                                  |              |                 |      | 10    | After fiscal year prepared**   |
| 17  | Deposit transmittal forms and control log                     |              |                 |      | 10    | After fiscal year prepared**   |
| 18  | Lists of authorized check signers                             |              |                 |      | 10    | After fiscal year prepared**   |
| 19  | Listing of bank accounts                                      |              |                 |      | 10    | After fiscal year prepared**   |
| 20  | NSF checks and related documentation                          |              |                 |      | 10    | After fiscal year prepared**   |
| 21  | Petty cash withdrawal requests                                |              |                 |      | 10    | After fiscal year prepared**   |
| 22  | Pre-numbered cash receipts                                    |              |                 |      | 10    | After fiscal year prepared**   |
| 23  | Remittance advises and other revenue supporting documentation |              |                 |      | 10    | After fiscal year prepared**   |
| 24  | Revolving Account check requests                              |              |                 |      | 10    | After fiscal year prepared**   |
| 25  | Validated bank deposit slips                                  |              |                 |      | 10    | After fiscal year prepared**   |
| 26  | Validated Treasurer's receipts                                |              |                 |      | 10    | After fiscal year prepared**   |
|     |   |              |                 |      |       | <p><b>*Pursuant to (GEPA) 20 US §1232f</b><br/> <b>**Required by ADOR</b></p> <p><b>Supersedes Schedule Dated:</b><br/> <b>January 2, 2001</b></p> |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 3 of 6****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Accounting/Finance**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES   | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)         |
|-----|---|--------------|-----------------|------|-------|--|
|     |   |              | Off.            | R.C. | Total |  |
| 27  | Voided transaction documentation  |              |                 |      | 10    | After fiscal year prepared**                           |
|     | <b>FINANCIAL REPORTS:</b>   |              |                 |      |       |  |
| 28  | Affidavits or publication of annual financial reports   |              |                 |      | 3     | After fiscal year prepared*                            |
| 29  | Annual financial reports  |              |                 |      | Perm  | (A.R.S. §39-101)                                       |
| 30  | Annual financial report summaries   |              |                 |      | 3     | After fiscal year prepared*                            |
| 31  | Annual financial statements including notes to financial statements   |              |                 |      | 3     | After fiscal year prepared*                            |
| 32  | Audit reporting package & data collection form  |              |                 |      | 3     | After date submitted to federal clearinghouse*         |
| 33  | County School Superintendent monthly reports (revenues, expenditures and ending cash balances)  |              |                 |      | 3     | After fiscal year prepared*                            |
| 34  | Letters of notification (to county schools office of revenues that apply to prior fiscal year expected to be received during 60 day encumbrance period) |              |                 |      | 3     | After fiscal year prepared*                            |
|     | <b>PAYROLL:</b>   |              |                 |      |       |  |
| 35  | Direct deposit authorizations   |              |                 |      | 3     | After fiscal year canceled                             |
| 36  | Documentation supporting remittances of employee withholdings and employer contributions to appropriate agencies  |              |                 |      | 4     | After fiscal year prepared (29 CFR 404.1225)           |
| 37  | Earned income credits (W-3)   |              |                 |      | 4     | After fiscal year prepared                             |
|     |   |              |                 |      |       | *Pursuant to (GEPA) 20 US §1232f<br>**Required by ADOR |
|     |   |              |                 |      |       | Supersedes Schedule Dated:<br>January 2, 2001          |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 4 of 6****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Accounting/Finance**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES   | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)                        |
|-----|---|--------------|-----------------|------|-------|---|
|     |   |              | Off.            | R.C. | Total |   |
| 38  | Other payroll reports (direct deposit register, misc. deduction register, etc.)   |              |                 |      | 3     | After fiscal year prepared  |
| 39  | Pay period summaries (summary of deductions by category)  |              |                 |      | 3     | After fiscal year prepared  |
| 40  | Payroll registers (gross and net)   |              |                 |      | 4     | After fiscal year prepared (26 CFR 31.6001 et. seq.)                  |
| 41  | Payroll vouchers  |              |                 |      | 3     | After fiscal year prepared*   |
| 42  | Personnel/payroll action form (pay or position change notices, additions to payroll, terminations, promotions, demotions, transfers, layoffs, etc.) |              |                 |      | 3     | After fiscal year prepared  |
| 43  | Reports of unemployment insurance contributions   |              |                 |      | 4     | After fiscal year prepared (AAC R6-3-1702)                            |
| 44  | Salary and wage schedules   |              |                 |      | 1     | After fiscal year revised   |
| 45  | State retirement system applications  |              |                 |      | 3     | After fiscal year of employee termination                             |
| 46  | Tax return A-1R – Transmittal of wages and tax statements to ADOR   |              |                 |      | 4     | After fiscal year prepared (A.R.S. §42-114)                           |
| 47  | Time sheets/cards   |              |                 |      | 3     | After fiscal year prepared* (29 CFR 516.2)                            |
| 48  | Vacation and sick leave summaries   |              |                 |      | 3     | After fiscal year superseded or employee terminated (29 CFR 516.2)    |
| 49  | Voluntary deduction authorizations  |              |                 |      | 4     | After fiscal year superseded or employee terminated (29 CFR 404.1225) |
|     |   |              |                 |      |       | <b>*Pursuant to (GEPA) 20 US §1232f</b>                               |
|     |   |              |                 |      |       | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b>                 |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 5 of 6****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Accounting/Finance**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES  | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)                       |
|-----|--|--------------|-----------------|------|-------|--|
|     |  |              | Off.            | R.C. | Total |  |
| 50  | W-3 forms – Transmittal of wages and tax statements to SSA |              |                 |      | 4     | After fiscal year prepared   |
| 51  | Employers copies of required IRS forms including W-4       |              |                 |      | 4     | After calendar year prepared (Rev. Proc. 84-77)                      |
| 52  | W-2 records of remuneration paid to employees              |              |                 |      | 4     | After date due for such tax for the return period (26 CFR 31.6001-1) |
| 53  | Undeliverable W-2 withholding statements (all copies)      |              |                 |      | 4     | After date due for such tax for the return period (26 CFR 31.6001-1) |
| 54  | Employee benefits files including group insurance          |              |                 |      | 6     | After termination of employment (29 USC 1113)                        |
|     | <b>PROPERTY CONTROL:</b>                                   |              |                 |      |       |  |
| 55  | Acquisitions listings                                      |              |                 |      | 3     | After fiscal year prepared*  |
| 56  | Construction in progress listings                          |              |                 |      | 3     | After fiscal year prepared*  |
| 57  | Replacement/evaluation files                               |              |                 |      | 2     | After fiscal year prepared   |
| 58  | Auction/sale files   |              |                 |      | 3     | After fiscal year prepared   |
| 59  | Disposals listings   |              |                 |      | 3     | After fiscal year prepared   |
| 60  | General fixed asset listing (fiscal year end)              |              |                 |      | 3     | After fiscal year prepared*  |
| 61  | Insurance files  |              |                 |      | 3     | After fiscal year of expiration                                      |
|     |  |              |                 |      |       | <b>*Pursuant to (GEPA) 20 US §1232f</b>                              |
|     |  |              |                 |      |       | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b>                |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 6 of 6****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Accounting/Finance**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No.   | RECORD SERIES  | R.S.<br>Code | RETENTION (YR.) |      |             | REMARKS<br>(Include start point of retention.)  |
|---|--|--------------|-----------------|------|-------------|---|
|   |  |              | Off.            | R.C. | Total       |   |
| 62  | Physical inventory records including tag records, count sheets, control records or logs, property listings, etc.:<br>a. Supplies/consumables<br>b. General fixed assets<br>c. Other assets |              |                 |      | 3<br>3<br>3 | After fiscal year prepared*<br>After fiscal year prepared*<br>After fiscal year prepared* |
| 63  | Obsolete/damaged items listings  |              |                 |      | 1           | After fiscal year prepared  |
| 64  | Asset/vehicle titles   |              |                 |      | -           | After fiscal year of disposal of asset  |
| 65  | Deeds  |              |                 |      | 3           | After fiscal year of disposal of asset  |
| 66  | Lost/stolen property reports   |              |                 |      | 3           | After fiscal year prepared*   |
| 67  | Asset disposition documents including sales, trade-ins, catastrophic loss, etc.  |              |                 |      | 3           | After fiscal year prepared*   |
| 68  | Reconciliation of general fixed asset acquisitions to total capital expenditures   |              |                 |      | 3           | After fiscal year prepared*   |
| 69  | Reconciliation of previous year-end general fixed assets listing to current year-end general fixed assets listing  |              |                 |      | 3           | After fiscal year prepared*   |
| 70  | Requests for authorization to dispose of equipment   |              |                 |      | 3           | After fiscal year prepared*   |
| 71  | Warehouse issue documents  |              |                 |      | 1           | After fiscal year prepared  |
| 72  | Warehouse requisitions   |              |                 |      | 1           | After fiscal year prepared  |
| 73  | Warranty records   |              |                 |      | -           | After fiscal year expired or property disposal  |
| *Pursuant to (GEPA) 20 US §1232f              |  |              |                 |      |             |   |
| Supersedes Schedule Dated:<br>January 2, 2001 |  |              |                 |      |             |   |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**



**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 1 of 4****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Administration**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES   | R.S.<br>Code | RETENTION (YR.)<br>Off. | R.C. | Total                  | REMARKS  |
|-----|---|--------------|-------------------------|------|------------------------|--|
|     |   |              |                         |      |                        | (Include start point of retention.)  |
| 1   | Bond surveys/bonding capacity records   |              |                         |      | 2                      | After fiscal year prepared   |
| 2   | Certificates/reports of records destruction   |              |                         |      | 2                      | After fiscal year prepared (permanent copy on file with Az. State Library) |
| 3   | District policies (official copy)   |              |                         |      | Perm                   | See A.R.S. §39-101   |
| 4   | Federal education assistance projects reports including project applications, budgets, completion reports, close-out reports, grant records, etc.   |              |                         |      | 3                      | After submission of final project expenditure report (GEPA – 20USC §1232f) |
| 5   | Final reports of consultants or special committees:<br>a. Resulting in a program or project<br>b. Not resulting in a program or project   |              |                         |      | -<br>3                 | File with program or project records<br>After report received              |
| 6   | General Correspondence – not related to a specific case or project:<br>a. Official copy (signed original or a copy of the signed original)<br>b. Final draft maintained in a computer system on hard disk or server (non-record copy retained for convenience)<br>c. Earlier drafts |              |                         |      | 2<br><br>3mos<br><br>- | After created or received<br><br>After superseded                          |
| 7   | Intergovernmental agreements (IGA)  |              |                         |      | 3                      | After fiscal year canceled, superseded, or expired                         |
| 8   | Office internal administration records including work procedures, office assignments, work schedules, etc. (paper or electronic media)  |              |                         |      | 3                      | After revised or discontinued  |
| 9   | Legal case files (official copy with attorney)  |              |                         |      | 3                      | After case closed  |
|     |   |              |                         |      |                        | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b>                      |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 2 of 4****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Administration**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES  | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)                                      |
|-----|--|--------------|-----------------|------|-------|---|
|     |  |              | Off.            | R.C. | Total |   |
| 10  | Progress/activity reports (except official annual report) including weekly or monthly reports to supervisors and managers (paper and/or electronic media)                  |              |                 |      | 1     | After fiscal year created or compiled   |
| 11  | Reference materials including duplicate files of documents, periodicals, published reports, etc. (non-records)   |              |                 |      | -     | After informational value has been served or a maximum of 3 years                   |
| 12  | Request for imaging/microfilm utilization (approved)   |              |                 |      | 1     | After expiration of approval  |
| 13  | School district election materials including backup files, official returns and ballots, etc.  |              |                 |      | 6mo   | After election  |
| 14  | School district employee reports (SDER)  |              |                 |      | 3     | After fiscal year submitted   |
| 15  | Transitory materials including correspondence of limited reference value, letters of transmittal and informational bulletins (paper or electronic media)                   |              |                 |      | 3mo   | After created or received   |
| 16  | Working documents including notes, drafts, feeder reports, etc. used in the development of final or summary records (paper and/or electronic media)                        |              |                 |      | -     | After completion of the final record  |
| 17  | E-mail communications:<br>a. Records* (including sender and receiver identification; time and date sent and received; complete message) maintained on individual computers |              |                 |      | -     | Retain for the same length of time as required for other forms of the record series |
|     | * Meeting the requirements of the definition of records pursuant to A.R.S. §41-1350  |              |                 |      |       | Supersedes Schedule Dated:<br>January 2, 2001                                       |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 3 of 4****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Administration**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No.   | RECORD SERIES  | R.S.<br>Code | RETENTION (YR.) |      |                               | REMARKS<br>(Include start point of retention.)  |
|---|--|--------------|-----------------|------|-------------------------------|---|
|   |  |              | Off.            | R.C. | Total                         |   |
|   | b. Records* (including sender and receiver identification; time and date sent and received; complete message) maintained on servers<br>c. Records* created with other software transmitted via e-mail and maintained on hard disk or floppy disk<br>d. Routine non-record communications<br>e. E-mail system backups<br>f. Periodic printouts of e-mail directories and distribution lists<br>g. Computer maintained e-mail directories and distribution lists |              |                 |      | -<br>-<br>-<br>4wks<br>3<br>- | Retain for the same length of time as required for other forms of the record series<br>Retain for the same length of time as required for other forms of the record series<br>Retain until information value has been served or a maximum of 3 months<br>After date backup was run<br>After updated or modified<br>Maintain current |
| 18  | Appointment calendars for office or individual (paper and/or electronic media)   |              |                 |      | 1                             | After calendar year created   |
| 19  | Logs, telephone message logs, sign-in sheets, etc. (paper and/or electronic media)   |              |                 |      | 1                             | After last entry date   |
| 20  | Employee time and leave records (unit of assignment copy only) including leave requests documents and time sheets (paper and/or electronic media)  |              |                 |      | 1                             | After fiscal year created   |
| 21  | Financial records (office copies only) including order requisitions, purchase orders, claims, travel claims, invoices, cash receipts, petty cash, etc. (paper and/or electronic media)   |              |                 |      | 1                             | After fiscal year created or received   |
| 22  | Voice mail   |              |                 |      | -                             | Erase or otherwise destroy messages following taking required action  |
| 23  | Voice mail backup  |              |                 |      | 1mo                           | After date backup is run  |
| <b>Supersedes Schedule Dated: January 2, 2001</b> |  |              |                 |      |                               |   |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 4 of 4****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Administration**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No.  | RECORD SERIES  | R.S.<br>Code | RETENTION (YR.) |      |                              | REMARKS<br>(Include start point of retention.)  |
|--|--|--------------|-----------------|------|------------------------------|---|
|  |  |              | Off.            | R.C. | Total                        |   |
| 24   | Employee personnel files (supervisors' copy)   |              |                 |      | 6mo                          | After termination of service or transfer  |
| 25   | Governing board records:<br>a. Minutes of open session meetings<br>b. Minutes of executive sessions (confidential per A.R.S. §38-431.03)<br>c. Agenda packets<br>d. Tape recordings of meetings<br>e. Minutes of committees and other non-decision making bodies |              |                 |      | Perm<br>3<br><br>3<br>-<br>3 | See A.R.S. §39-101<br>After transcribed<br><br>After fiscal year prepared<br>After transcribed<br>After fiscal year prepared and approved |
|  |  |              |                 |      |                              | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b>   |
| <b>Approved by:</b><br><b>X Gladys Ann Wells</b><br>Director, Arizona State Library, Archives and Public Records |  |              |                 |      |                              | <b>Approval Date:</b><br><br><b>May 3, 2004</b>   |

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 1 of 1****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Budgets**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES   | R.S.<br>Code | RETENTION (YR.) |      |          | REMARKS<br>(Include start point of retention.)        |
|-----|---|--------------|-----------------|------|----------|---|
|     |   |              | Off.            | R.C. | Total    |   |
| 1   | Adopted/revised expenditure budgets (record copy)   |              |                 |      | 3        | After fiscal year prepared                            |
| 2   | Affidavits of publication of budget (info. copy)  |              |                 |      | 3        | After fiscal year prepared                            |
| 3   | Capital outlay fund reserve plan  |              |                 |      | 3        | After last fiscal year included in plan               |
| 4   | Documentation of budget override elections:<br>a. Approved<br>b. Not approved   |              |                 |      | 3<br>6mo | After fiscal year applicable<br>After election date   |
| 5   | Documentation supporting budget estimates/revisions including budget worksheets, calculation of equalization assistance reports, etc. |              |                 |      | 3        | After fiscal year prepared                            |
| 6   | Expenditure budget summaries  |              |                 |      | 3        | After fiscal year prepared                            |
| 7   | Notices of budget hearings  |              |                 |      | 3        | After fiscal year prepared                            |
| 8   | Revenue budgets   |              |                 |      | 3        | After fiscal year prepared                            |
|     |   |              |                 |      |          | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b> |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 1 of 1****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Equipment/Vehicle Services**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES   | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)            |
|-----|---|--------------|-----------------|------|-------|---|
|     |   |              | Off.            | R.C. | Total |   |
| 1   | Equipment/vehicle history files   |              |                 |      | 3     | After disposal of equipment/vehicle                       |
| 2   | Equipment/vehicle inventory reports   |              |                 |      | 3     | After fiscal year of report                               |
| 3   | School Bus inspections  |              |                 |      | 2     | After fiscal year prepared                                |
| 4   | Parts inventories   |              |                 |      | 3     | After fiscal year inventory taken                         |
| 5   | Maintenance/repair work orders  |              |                 |      | 3     | After fiscal year completed                               |
| 6   | Fuel pump receipts  |              |                 |      | 3     | After fiscal year created                                 |
| 7   | Accident reports (personal injuries)  |              |                 |      | 5     | After calendar year of accident (29 CFR 1904.2; CFR 1904) |
| 8   | Accident reports (no personal injury)   |              |                 |      | 3     | After calendar year of accident                           |
| 9   | Billing records (to various cost centers of organizational units)   |              |                 |      | 3     | After fiscal year created                                 |
| 10  | Fuel tank records indicating the location, dimensions and volume of tanks   |              |                 |      | -     | Retain for the life of the tank (40 CFR 60.116b)          |
| 11  | Fuel tank records showing the volatile organic liquid (VOL) stored, the period of storage and maximum true vapor pressure |              |                 |      | 2     | After calendar year created (40 CFR 60.116b)              |
|     |   |              |                 |      |       | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b>     |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 1 of 2****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Food Service; Student Activities; Aux. Operations**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES   | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)        |
|-----|---|--------------|-----------------|------|-------|---|
|     |   |              | Off.            | R.C. | Total |   |
| 1   | Accounts receivable/payable schedules   |              |                 |      | 3     | After fiscal year prepared                            |
| 2   | Athletic ticket sales reports   |              |                 |      | 3     | After fiscal year prepared                            |
| 3   | Auxiliary operations and student activities financial reports including banking and accounting records related to student activities, clubs, etc. |              |                 |      | 3     | After fiscal year prepared                            |
| 4   | Cash collection reports   |              |                 |      | 3     | After fiscal year prepared                            |
| 5   | Cash/investments ledgers  |              |                 |      | 3     | After fiscal year prepared                            |
| 6   | Cash register detail tapes  |              |                 |      | 3     | After fiscal year prepared                            |
| 7   | Daily a la carte sales reports  |              |                 |      | 3     | After fiscal year prepared                            |
| 8   | Daily sales reports   |              |                 |      | 3     | After fiscal year prepared                            |
| 9   | Daily summaries of meals served   |              |                 |      | 3     | After fiscal year prepared                            |
| 10  | District logs of tickets/meal cards on hand and issued  |              |                 |      | 3     | After fiscal year prepared                            |
| 11  | Monthly federal reimbursement claims  |              |                 |      | 3     | After fiscal year prepared                            |
| 12  | Monthly reports of cash receipts, disbursements, transfers and cash balances  |              |                 |      | 3     | After fiscal year prepared                            |
| 13  | Refund/repurchase documents   |              |                 |      | 3     | After fiscal year prepared                            |
| 14  | Support documents for expenditures and disbursements including requisitions, P.O.s, receiving reports, vouchers, invoices, etc.                   |              |                 |      | 3     | After fiscal year prepared                            |
| 15  | School log of charge sales  |              |                 |      | 3     | After fiscal year prepared                            |
|     |   |              |                 |      |       | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b> |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 2 of 2****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Food Service; Student Activities; Aux. Operations**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No.   | RECORD SERIES  | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)              |
|---|--|--------------|-----------------|------|-------|---|
|   |  |              | Off.            | R.C. | Total |   |
| 16  | School logs of tickets/meal cards received and issued                                |              |                 |      | 3     | After fiscal year prepared                                  |
| 17  | Student charge records   |              |                 |      | 3     | After fiscal year prepared                                  |
| 18  | Unused ticket/meal card refund slips   |              |                 |      | 3     | After fiscal year prepared                                  |
| 19  | Used meal tickets  |              |                 |      | 1     | After fiscal year prepared                                  |
| 20  | Daily report of tickets/meal cards issued and sold                                   |              |                 |      | 3     | After fiscal year prepared                                  |
| 21  | Cash advance documents   |              |                 |      | 3     | After fiscal year   |
| 22  | Applications for Federal assistance (reduced price on lunches because of low income) |              |                 |      | 3     | After final claim for reimbursement submitted (7 CFR 210.9) |
|   |  |              |                 |      |       | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b>       |
| <b>Approved by:</b><br><b>X</b> <i>Gladys Ann Wells</i><br>Director, Arizona State Library, Archives and Public Records |  |              |                 |      |       | <b>Approval Date:</b><br><b>May 3, 2004</b>                 |



**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 1 of 1****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Information Technology**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES   | R.S.<br>Code | RETENTION (YR.) |      |        | REMARKS<br>(Include start point of retention.)  |
|-----|---|--------------|-----------------|------|--------|---|
|     |   |              | Off.            | R.C. | Total  |   |
| 1   | Detailed financial history transaction tapes including tapes, and/or disks of payroll expenditures, receipts or other financial information   |              |                 |      | -      | Retain for same period as equivalent paper records found elsewhere in these schedules |
| 2   | Operations documentation:<br>a. Operating manuals, program run books, setup/error/halt procedures<br>b. Operating schedules; program run and batch control logs; error message reports; terminal activity reports |              |                 |      | 3<br>2 | After superseded<br>After fiscal year created   |
| 3   | Password/security authorization documents   |              |                 |      | 3      | After fiscal year superseded or employee terminated                                   |
| 4   | Physical and password security policies; backup emergency plans   |              |                 |      | 1      | After fiscal year revised or updated  |
| 5   | Problem documentation including problem definition, testing, user approval final resolution   |              |                 |      | 3      | After fiscal year prepared  |
| 6   | Program documentation including specific descriptions of individual programs, program steps and modifications   |              |                 |      | 3      | After superseded by new program   |
| 7   | Systems documentation including overall description, diagrams, program interrelationships   |              |                 |      | 3      | After superseded  |
| 8   | User manuals including procedures manuals and handbooks   |              |                 |      | 3      | After superseded  |
|     |   |              |                 |      |        | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b>                                 |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 1 of 2****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Personnel/Human Resources**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES  | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)  |
|-----|--|--------------|-----------------|------|-------|---|
|     |  |              | Off.            | R.C. | Total |   |
| 1   | Accident and fire prevention program records including attendance rosters, meeting minutes, training materials |              |                 |      | 1     | After fiscal year prepared  |
| 2   | Accident reports and logs  |              |                 |      | 5     | After date of report (29 CFR 1952.4; 29 CFR 1904.2)   |
| 3   | Benefit plan records including insurance, disability, sick leave, etc.   |              |                 |      | 1     | After fiscal year revised   |
| 4   | Employee related correspondence  |              |                 |      | -     | File in personnel file  |
| 5   | Employee Grievances  |              |                 |      | 3     | After resolved  |
| 6   | EEO-4 reports including background materials   |              |                 |      | 3     | After prepared (29 CFR 1602.30)   |
| 7   | Hiring, promotion and transfer records including application, selection, interview, etc.                       |              |                 |      | 2     | After prepared (29 CFR 1602.40)   |
| 8   | Discipline, demotion, termination and other records affecting compensation                                     |              |                 |      | 2     | After prepared (29 CFR 1602.40)   |
| 9   | Records retained in order to file EEO-5 and EEO-6  |              |                 |      | 2     | After prepared (29 CFR 1602.48)   |
| 10  | Employee listings  |              |                 |      | 1     | After revised   |
| 11  | Employee personnel files including loyalty oath required per ARS §38-231                                       |              |                 |      | 3     | After termination (29 CFR 1627.3)   |
| 12  | Employee contracts   |              |                 |      | 3     | After fulfilled or canceled (29 CFR 516.3)  |
| 13  | Form I-9 (proof of legal residency in U.S.A.)  |              |                 |      | 1     | After employee terminates employment, but not less than 3 years after date of hire (8 CFR 274a.2) |
|     |  |              |                 |      |       | <b>Supersedes Schedule Dated:<br/>May 16, 2002</b>  |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 2 of 2****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Personnel/Human Resources**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES   | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)   |
|-----|---|--------------|-----------------|------|-------|--|
|     |   |              | Off.            | R.C. | Total |  |
| 14  | Employee personnel summary (paper and/or electronic media)  |              |                 |      | 10    | After calendar year of termination<br>(There is no requirement to have/create this record series.)                                     |
| 15  | Fingerprint report (A.R.S. §15-512)   |              |                 |      | 6mo   | After received   |
| 16  | Criminal behavior affidavit (A.R.S. §15-512D.)  |              |                 |      | -     | Retain in Employee personnel file, item #11  |
| 17  | Group insurance files including official copies of contracts with insurance carriers                                    |              |                 |      | 6     | After fiscal year prepared   |
| 18  | Position descriptions   |              |                 |      | 3     | After superseded or position abolished   |
| 19  | Salary and wage schedules   |              |                 |      | 1     | After fiscal year revised or superseded  |
| 20  | Substitute teacher file   |              |                 |      | 3     | After last contact with teacher  |
| 21  | Reduction in force records including computation documents and recap. summaries   |              |                 |      | 3     | After RIF (lay-off) is completed   |
| 22  | Employee medical and exposure records including lists of hazardous materials exposed to; pre-employment physicals; etc. |              |                 |      | 30    | After termination of employment (29 CFR 1910.20) These records must be retained separately from the employee personnel file, item #11. |
| 23  | Unsolicited resumes and employment applications   |              |                 |      | -     | After received   |

**Supersedes Schedule Dated:  
May 16, 2002**

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 1 of 1****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Purchasing/Procurement**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No.  | RECORD SERIES  | R.S.<br>Code | RETENTION (YR.) |      |            | REMARKS<br>(Include start point of retention.)  |
|--|--|--------------|-----------------|------|------------|---|
|  |  |              | Off.            | R.C. | Total      |   |
| 1  | Bid/contract files including IFB/RFP, affidavit of publication, recap sheets, bonds, scores, award, etc.:<br>a. Fixed assets<br><br>b. Other assets or commodities |              |                 |      | 3<br><br>6 | After disposal of asset (but not less than 6 years after contract fulfilled)<br>After fiscal year prepared or contract expiration |
| 2  | Unsuccessful bids  |              |                 |      | 3          | After fiscal year received  |
| 3  | Late bids, modifications and withdrawals, etc.   |              |                 |      | 1mo        | After vendor notified (May be returned to vendor in lieu of destruction.)   |
| 4  | Canceled solicitations   |              |                 |      | 1          | After fiscal year cancelled   |
| 5  | Credit memos   |              |                 |      | 3          | After fiscal year received  |
| 6  | Expenditure vouchers (cover sheet and supplement)  |              |                 |      | 3          | After fiscal year prepared  |
| 7  | Operating leases   |              |                 |      | 6          | After fiscal year fulfilled or canceled   |
| 8  | Capital leases   |              |                 |      | 3          | After asset disposal  |
| 9  | Oral and written quotations  |              |                 |      | 3          | After fiscal year prepared  |
| 10   | Purchase orders; requisitions; receiving documents, registers  |              |                 |      | -          | See Expense accounting records, item #9, on Accounting/Finance schedule   |
| 11   | Vendor lists and files   |              |                 |      | -          | Review and purge annually   |
| 12   | Protests   |              |                 |      | 3          | After fiscal year received  |
|  |  |              |                 |      |            | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b>   |
| <b>Approved by:</b><br><b>X Gladys Ann Wells</b><br>Director, Arizona State Library, Archives and Public Records |  |              |                 |      |            | <b>Approval Date:</b><br><br><b>May 3, 2004</b>   |

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 1 of 3****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Student Records**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No.  | RECORD SERIES  | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)   |
|--|--|--------------|-----------------|------|-------|--|
|  |  |              | Off.            | R.C. | Total |  |
| 1  | Attendance records (if prepared and retained at district)                                    |              |                 |      | 3     | After fiscal year prepared   |
| 2  | School Registers   |              |                 |      | 3     | After fiscal year prepared   |
| 3  | Certificates of educational convenience (CEC)  |              |                 |      | 2     | After last fiscal year attended  |
| 4  | Disciplinary records   |              |                 |      | 2     | After fiscal year of last attendance   |
| 5  | Excused absence documentation  |              |                 |      | 1     | After fiscal year received   |
| 6  | Child abuse reports*   |              |                 |      | 2     | After fiscal year of last attendance   |
| 7  | Counseling session documents*  |              |                 |      | 2     | After fiscal year of last attendance   |
| 8  | Professional and working notes*  |              |                 |      | 2     | After fiscal year of last attendance   |
| 9  | Federal survey records   |              |                 |      | 3     | After fiscal year prepared   |
| 10   | Access and release records   |              |                 |      | 2     | After fiscal year of last attendance   |
| 11   | Grade records in book, paper or electronic form  |              |                 |      | 2     | After grades transferred to permanent transcript   |
| 12   | Standardized test score sheets including AIMS  |              |                 |      | 2     | After date received  |
| 13   | Student activities files including extracurricular activities, awards, recommendations, etc. |              |                 |      | 2     | After date of last attendance  |
|  |  |              |                 |      |       | <p><b>*Not subject to education records definition in The Family Educational Rights and Privacy Act of 1974 (FERPA)</b></p> <p><b>Supersedes Schedule Dated: January 2, 2001</b></p> |
| Approved by:<br><b>X</b> <i>Gladys Ann Wells</i><br>Director, Arizona State Library, Archives and Public Records |  |              |                 |      |       | Approval Date:<br><br><b>May 3, 2004</b>   |

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 2 of 3****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Student Records**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES  | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)                                |
|-----|--|--------------|-----------------|------|-------|---|
|     |  |              | Off.            | R.C. | Total |   |
| 14  | Health records including basic identifying data, general medical history, medical reports, vision test results, hearing test results, student accident reports, etc. |              |                 |      | 2     | After date of last attendance   |
| 15  | Immunization records   |              |                 |      | -     | File with permanent student record file, item #21, pursuant to A.R.S. §15-874 |
| 16  | Records of pesticide notification  |              |                 |      | 2     | After posted (A.R.S. §15-152)   |
| 17  | Anecdotal records  |              |                 |      | 2     | After fiscal year of last attendance  |
| 18  | Non-medical professional reports including those from psychologists, social workers, etc.  |              |                 |      | 3     | After fiscal year of last attendance  |
| 19  | Notice of student withdrawal   |              |                 |      | 3     | After fiscal year of withdrawal   |
| 20  | Permanent student record files including student identification information, academic records, attendance records AIMS test results.                                 |              |                 |      | Perm  | A.R.S. 39-101   |
| 21  | Reports from outside agencies including social service agencies, courts, state agencies, hospitals, private schools, consultations, etc.                             |              |                 |      | 2     | After fiscal year of last attendance  |
|     |  |              |                 |      |       | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b>                         |

Approved by:

**X** *Gladys Ann Wells*

Director, Arizona State Library, Archives and Public Records

Approval Date:

**May 3, 2004**

**RECORDS RETENTION AND DISPOSITION SCHEDULE****PAGE 3 of 3****ALL ARIZONA SCHOOL DISTRICTS**

Function:

**Student Records**

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention period is illegal. If you believe that special circumstances warrant the extension of any of these retention periods that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No.   | RECORD SERIES   | R.S.<br>Code | RETENTION (YR.) |      |       | REMARKS<br>(Include start point of retention.)        |
|---|---|--------------|-----------------|------|-------|---|
|   |   |              | Off.            | R.C. | Total |   |
| 22  | Special education records including placement records, referrals, evaluations, testing data, etc.<br><br><b>NOTE: Parents must be notified prior to destruction of special education records. This may be accomplished by notifying parents of this retention and disposition policy during initial placement in a special education program.</b> |              |                 |      | 3     | After fiscal year of final enrollment                 |
| 23  | Special education census (if retained by district)  |              |                 |      | 5     | After fiscal year prepared                            |
| 24  | Student insurance records   |              |                 |      | 2     | After fiscal year of last attendance                  |
| 25  | Student population studies  |              |                 |      | 3     | After fiscal year prepared                            |
| 26  | Tuition program records   |              |                 |      | 3     | After fiscal year prepared                            |
|   |   |              |                 |      |       | <b>Supersedes Schedule Dated:<br/>January 2, 2001</b> |
| <b>Approved by:</b><br><b>X</b> <i>Gladys Ann Wells</i><br>Director, Arizona State Library, Archives and Public Records |   |              |                 |      |       | <b>Approval Date:</b><br><br><b>May 3, 2004</b>       |

## Chapter 5- Historical Records

*NOTE: This chapter was prepared by archivists from the Arizona State History and Archives Division*

### A MOST VALUABLE RESOURCE

The records maintained by local governments are among the most valuable resources in their care. They are essential for the conduct of ongoing operations and the official documentation of legally binding decisions and actions of the government. They allow the public to understand civic issues. Records are the community's memory.

Records are preserved because:

- Officials use them to control and monitor government operations
- They document the conduct of public business
- Records ensure and measure government accountability
- Many government records contain information that is used by researchers from within and from outside government
- Historians and other researchers use selected government records for information on individuals, groups and the community, on the development of the government and its operations and on the life of the community itself

Everyday pressures and duties often leave officials little time for attention to records issues. To help, the Arizona State Archives encourages partnerships with local government offices by providing assistance to them.

- It helps agencies determine if they hold permanent records.
- It consults on permanent records storage.
- It reduces storage space required by the municipality by transferring permanent records to the State Archives.
- It reduces demands on your staffs' time after records transfers because the State Archives staff answers the constituents' questions.
- It makes records available to the agency within 24-hours.
- It stores records in secure areas and monitors their use.
- It provides preservation services for permanent records.

### Permanent Records:

The State Archives has identified School District **records** on these schedules which have **historical value**. These records are permanent and should not be destroyed. For convenience, they are listed below, but other records normally considered non-permanent may also have historical value.

These include:

1. Board Minutes of boards, commissions, and committees established by statute, resolution, proclamation or ordinance.

2. Original or "official copies" of formal policy directives.
3. Original copy of organizational documentation including charts.
4. Records documenting a historic or "landmark event."

Those record series are identified in the schedule with this statement in the remarks section: "Some items within this record series, because of age or their link to high profile issues, should be retained permanently. Consult the State Archives for further information."

These records cannot be given to local historical societies, museums or universities. For assistance or help with questions, write, call or e-mail:

### History and Archives Division Arizona State Library, Archives and Public Records

1700 W. Washington

Phoenix, AZ 85007

Phone (602) 542-4159

Fax(602) 542-4402.

Internet address: [archives@dlapr.lib.az.us](mailto:archives@dlapr.lib.az.us)

### BIBLIOGRAPHY FOR LOCAL GOVERNMENT RECORDS

Dearstyne, Bruce W., The Management of Local Government Records; A Guide for Local Officials. Nashville: American Association for State and Local History, 1988. \$14.35.

Haller, Stephen E., "Managing Records on Limited Resources; A Guide for Local Governments," Local Government Records Technical Publication Series, No. 2. Albany: National Association of Government Archives and Records Administrators, the International Institute of Municipality Clerks and the National Association of Municipalities, November 1991. \$3.00 for single copies or \$10 for full set.

Hollings, Marie Ferrara, "Should Local Governments Microfilm Their Records?," NICLOG Technical Leaflet Series, #103. Nashville: American Association for State and Local History, 1989. \$3.00.

Johnson, A.K., Jr., "A Guide for the Selection and Development of Local Government Records Storage Facilities," Local Government Records Technical Publication Series, No. 1. Albany: National Association of Government Archives and Records Administrators, the International Institute of Municipality Clerks and the National Association of Municipalities, November 1989. \$3.00 for single copies or \$10 for full set.

Mims, Julian L., "Using Microfilm; A Guide for Local Governments," Local Government Records



Technical Publication Series, No. 5. Albany: National Association of Government Archives and Records Administrators, the International Institute of Municipality Clerks and the National Association of Municipalities, February 1992. \$3.00 for single copies or \$10 for full set.

Smith, Harmon, "Protecting Records; A Guide for Local Governments," Local Government Records Technical Publication Series, No. 4. Albany: National Association of Government Archives and Records Administrators, The International Institute of Municipality Clerks and the National Association of Municipalities, March 1992. \$3.00 for single copies or \$10 for full set.

Stephens, David O., "The Daily Management of Records and Information; A Guide for Local Governments," Local Government Records Technical Publication Series, No. 3. Albany: National Association of Government Archives and Records Administrators, the International Institute of Municipality Clerks and the National Association of Municipalities, November 1991. \$3.00 for single copies or \$10 for full set.

Thompson, Enid, Local History Collections: A Manual for Librarians. Nashville: Association for State and Local History, 1978. \$6.25.

White, Kenneth, "Applying Computer Technology to Records Systems; A Guide for Local Government," Local Government Records Technical Publication Series, No. 6. Albany: National Association of Government Archives and Records Administrators, the International Institute of Municipality Clerks and the National Association of Municipalities, March 1992. \$3.00 for single copies or \$10 for full set.

## Chapter 6- Destruction of Records

### LEGALITY OF DESTRUCTION

Destroying public records *without lawful authority* is a class 4 felony (A.R.S. §38-421). The Arizona State Library, Archives and Public Records is charged by law (A.R.S. §41-1347), with the responsibility of authorizing the destruction of qualified public records.

As stated earlier in this manual, no record should be destroyed while it still has significant value . . . but no record should be maintained after its potential use does not justify cost of continued retention. The determination of value is ultimately the responsibility of the Arizona State Library, Archives and Public Records (A.R.S. §41-1347) and the Department encourages the lawful and timely destruction of eligible records. There are two methods for obtaining authorization for destruction of records:

- For records on approved retention and disposition schedules
- For records not on schedules

### RECORDS ON APPROVED SCHEDULES

A retention and disposition schedule approved by the Arizona State Library, Archives and Public Records (including the general and model schedules) is a continuing authority to destroy the listed records at the end of their scheduled retention period. With an approved schedule, an agency may destroy listed records without further approval.

***These schedules DO NOT pre-empt good judgment. Records required for legal or audit purposes beyond the recommended retention must be maintained until cleared by the appropriate authority before destruction.***

***Disclaimer:*** *The records management and archives professionals at the Arizona State Library, Archives And Public Records have made every effort to research records retention periods to ensure they meet all legal requirements. However, laws and regulations change and research is not a perfect process. Therefore, the Arizona State Library, Archives and Public Records encourages the records custodian to remain aware of legal requirements for the records in custody and inform the Arizona State Library, Archive and Public Records of any record retention requirements not stated in this manual.*

Destruction must be reported to the Arizona State Library, Archives and Public Records after it has taken place (A.R.S. §41-1351). To simplify and standardize the reporting of records destruction, the "Report of Records Destruction/ Certificate of Destruction" must be used. Figure 5 illustrates "Report/Certificate of Records Destruction" which is available on request, in paper and PDF formats, from the Records Management Division. It is also available in screen fillable PDF format at the agency website, [www.lib.az.us](http://www.lib.az.us).

Please print clearly or use a typewriter for the paper form. Complete the form as follows:

1. In the upper right corner "Authority" enter the approval date of the agency retention schedule; if a support or model schedule is used enter the date it was approved and give the name of the function.
2. Complete the "FROM" section with the School District name, official agency name, office name, address and zip code.
3. List the "Record Series" destroyed using the **exact** record series name(s) found on the approved schedule.
4. Enter the earliest date under "From" and the latest date under "Thru".
5. For paper estimate the volume, in cubic feet, of records destroyed. For computer records ignore the volume destroyed.  
***One letter size file drawer = 1.5 cu. ft.***  
***One legal size file drawer = 2.0 cu. ft.***
6. At the bottom of the certificate enter the date on which the records were destroyed, the method of destruction and the signature of the individual performing or witnessing the destruction.

### RECORDS NOT ON APPROVED SCHEDULES

Records not on approved schedules may be destroyed only with explicit approval from the Director of the Arizona State Library, Archives and Public Records. To request approval to destroy records a "Single Request" (illustrated in Figure 6) must be used.

The "Single Request" is available on request, in paper and PDF formats, from the Records Management Division. It is also available in screen fillable PDF format at the agency website, [www.lib.az.us](http://www.lib.az.us).

1. ***DO NOT MAKE ANY ENTRIES IN THE SHADED AREAS.***
2. Complete the identification section with the date, School District name, official agency name, office name, address, phone and zip.
3. The individual assigned with the duty of custodian for the records listed must sign the request. The name of that individual must be typed in the "Submitted by" area.
4. List the RECORD SERIES to be destroyed using the name of the series and a brief description if necessary.
5. Enter the earliest date of the records (FROM) and the date of the latest records (THRU).
6. Estimate the volume of paper records in cubic feet.  
***One letter size file drawer = 1.5 cu. ft.***  
***One legal size file drawer = 2.0 cu. ft.***
7. ***STOP.*** Send the form intact to the Records Management Division. The Director of the Arizona State Library, Archives and Public Records will provide authorization using a code placed in the "Code " column beside each record series listed.

Following approval by the Director, Arizona State Library, Archives and Public Records, the Records Management Division will return the form to the requester for certification of destruction.

8. Destruction needs to take place within 60 days of the approval date. Following destruction of the records, complete the bottom of the form with the name of the person actually destroying or supervising the destruction of the records and the date the records were actually destroyed.
9. Send the completed form to the Records Management Division. Retain a copy in your office for two years.

### METHODS OF DESTRUCTION

The great majority of records produced by School Districts are accessible to the general public pursuant to A.R.S. §39- 121. Records are not restricted or confidential unless specifically identified as such by statute. There is, therefore, no reason to destroy most public records with the exactness required for the destruction of confidential or restricted records.

The most desirable method of destruction for non-confidential public records is recycling. Recycling is simply the sale of the old records to a commercial firm which will eventually reprocess the old paper into new. Microfilm records can also be recycled by silver recyclers. Recycling is a source of revenue and ensures the total destruction of the records.

Shredding, pulping, mastication and disintegration are all thorough destruction methods. These methods typically require expensive specialized equipment and are labor intensive. Although thorough, they are generally incomplete methods as their end products must still be disposed of. These destruction methods should only be used for confidential or restricted records because of the relatively high cost incurred.

Burning is an inexpensive and effective method of very thorough records destruction. However, incinerators and open fires are against the law in most areas. Burning should only be used where it is legal and when it can be safely monitored and contained. Burning, when executed properly, is an extremely effective method

ideal for destruction of confidential or restricted records. It is time consuming and requires constant monitoring, making it too labor intensive for most public records destruction.

Landfill is *not* an approval method for the destruction government records. Burying records in a landfill may make the records unusable for most practical purposes, but it is not effective in truly destroying the records. Records buried in a landfill in desert areas, such as most of Arizona, may actually be preserved by the act of burying them in a dry, relatively sterile and ultra-violet free environment. Although an inexpensive option, burying in a landfill can not guaranty the destruction of the records.

### TRANSFER OF RECORDS

Occasionally, there may be a need to transfer records from a political sub-division to a state agency, from a municipality to a municipal government, from a state agency to a political sub-division or from a state or municipality agency to the State Archives. This may come about because of a change in jurisdiction over some project or function or because the State Archives desires the records for their historical value.

The "Single Request" described above has also been designed to serve this purpose. Follow all of the directions above indicating that a transfer is being recommended. The Director, Arizona State Library, Archives and Public Records will review the single request and will most likely approve the transfer between any two public bodies. Transfers of public records to private individuals, private organizations or corporations will normally not be approved.

In some cases, the State Archives may request the transfer of records when an agency wishes to dispose of them. In these cases, the Director will usually approve the transfer.

The bottom of the "Single Request" has been designed to document the transfer of records. As with destruction, the form is sent to the Records Management Division and a copy is kept in the transferring agency's files for two years.

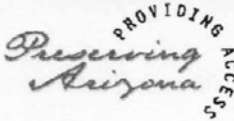
| REPORT/CERTIFICATE OF RECORDS DESTRUCTION   |               |  |                       |  |
|---|---------------|--|-----------------------|--|
|    |               | Arizona State Library, Archives and Public Records<br><b>RECORDS MANAGEMENT DIVISION</b><br>1919 West Jefferson Street<br>Phoenix, Arizona 85009<br>Phone: 602-542-3741 Fax: 602-542-3890<br>E-mail: rmd@lib.az.us |                       | <b>AUTHORITY</b><br>Date of approved<br>schedule or manual |
| <input type="checkbox"/> <b>STATE AGENCY</b>  |               | <input type="checkbox"/> <b>POLITICAL SUBDIVISION</b>  |                       | DATE   |
| AGENCY NAME   |               | ORGANIZATIONAL UNIT  |                       | PHONE  |
| ADDRESS   |               | CITY   | <b>AZ</b>             | ZIP  |
| LIST RECORDS DESTROYED  |               |  |                       |  |
| RECORD SERIES   | DATES COVERED |  | ESTIMATED<br>VOLUME * |  |
|   | FROM          | THRU   |                       |  |
|   |               |  |                       |  |
| CERTIFICATE   |               |  |                       |  |
| The above records have been destroyed so as to render them totally useless.   |               |  |                       |  |
| DESTROYED BY (NAME)   |               | TITLE  |                       |  |
| SIGNATURE<br><b>X</b>   |               | DATE   |                       |  |
| * Volume of paper records is estimated in cubic feet to the nearest whole number. Volume of digital records may be stated by the estimated memory volume it consumed. |               |  |                       |  |

Figure 5

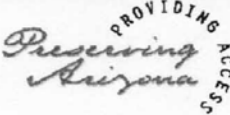
| SINGLE REQUEST FOR RECORDS DESTRUCTION OR TRANSFER   |   |  |           |   |
|--|---|--|-----------|---|
|   |   | Arizona State Library, Archives and Public Records<br><b>RECORDS MANAGEMENT DIVISION</b><br>1919 West Jefferson Street<br>Phoenix, Arizona 85009<br>Phone: 602-542-3741 Fax: 602-542-3890<br>E-mail: rmd@lib.az.us |           | <b>CONTROL NO.</b><br>For RMD use only. |
| <input type="checkbox"/> <b>STATE AGENCY</b>   |   | <input type="checkbox"/> POLITICAL SUBDIVISION   |           | DATE                                    |
| AGENCY NAME  |   | ORGANIZATIONAL UNIT  |           | PHONE                                   |
| ADDRESS  |   | CITY   | <b>AZ</b> | ZIP                                     |
| LIST RECORDS TO BE DESTROYED OR TRANSFERRED  |   |  |           |   |
| CODE<br>Provided by<br>ASLAPR  | RECORD SERIES   | DATES COVERED  |           | ESTIMATED<br>VOLUME *                   |
|  |   | FROM   | THRU      |   |
|  |   |  |           |   |
| HISTORY & ARCHIVES COMMENTS  |   | RECORDS MANAGEMENT COMMENTS  |           |   |
|  |   |  |           |   |
| AUTHORIZATION  |   |  |           |   |
| CODE   | A – Transfer to Arizona State Library, Archives and public Records.<br>B – Continue to hold until _____.<br>C – Transfer to _____.<br>D – Destroy so as to render unusable. |  |           |   |
| AUTHORIZED/APPROVED BY<br><b>X</b><br>Director, Arizona State Library, Archives and Public Records   |   |  | DATE      |   |
| CERTIFICATE  |   |  |           |   |
| <input type="checkbox"/> The above records have been DESTROYED so as to render them totally useless.   |   |  |           |   |
| <input type="checkbox"/> The above records were TRANSFERRED per direction.   |   |  |           |   |
| BY (NAME)  |   |  | TITLE     |   |
| SIGNATURE<br><b>X</b>  |   |  | DATE      |   |
| <i>* Volume of paper records is estimated in cubic feet to the nearest whole number. Volume of digital records may be stated by the estimated memory volume it consumes.</i> |   |  |           |   |

Figure 6